

## Compliance Reporting Services

*Manage risk by detecting and managing compliance violations*

Compliance reporting has become an essential part of the risk management process for asset managers, fund administrators and trustees. JPMorgan Compliance Reporting Services enables clients to detect and manage compliance violations of client mandates, regulatory restrictions and in-house exposure limits.

### Key benefits

- Comprehensive rule coverage and capability
- Seamless integration with JPMorgan and third party accounting systems
- Reduction in middle and back office workload of manual compliance checks
- Integrated workflow process for violation analysis and resolution
- Decrease in operational risk, representing industry best practice

### Rules Coverage

- Client definable rules and reports, with over 6,000 individual rules available
- Equity, fixed income, derivatives, money-market, cash and cash equivalent restrictions
- Extensive security reference data facilitating support of tests for credit ratings, outstanding shares, issuer exposure, etc.
- Weighted average analytics capability for credit ratings and maturity
- Rules are built and formatted for clients by dedicated compliance rule builders within JPMorgan
- Comprehensive fund look through and benchmark functionality

### Regulatory Libraries

- Client defined regulatory rules library
- US SEC (1940 Act including Rule 2a-7)
- ERISA prohibited transactions
- NAIC/State regulatory rules
- European UCITS, German KAGG and UK FSA
- European and US pension and insurance funds

### Rule Processing

- Daily, weekly and monthly portfolio compliance checking
- Tests can be run at the portfolio, sub-composite and total composite level
- 24/7 operation, with global client access through the internet
- Same day compliance reporting, with intra-day processing
- Online access to change rule warning parameters

### Breach Register

- Client definable workflows and breach record content for analysis and resolution
- Access to historical compliance exception reports and breach records
- Breach register universe comparison reporting and trend analysis
- Comprehensive search capability with ability to build and store customized reports

### User Access Control

- Client-maintained user access rights and permissions, with the ability to set up groups
- Access can be controlled at the client, breach register, portfolio and test level by function
- Audit trail for breach life cycle events, user updates and administrative changes
- User preferences for date, time and number formats

*(Continued)*

**For more information, please contact your JPMorgan sales representative or relationship manager, or visit us at [jpmorgan.com/investorservices](http://jpmorgan.com/investorservices).**

# WORLDWIDE SECURITIES SERVICES

## Technology

- Web-based, three-tier application (presentation, mid-tier, and database)
- Application hardware and software maintained and supported by JPMorgan
- Proprietary middleware technology to assist in formatting and mapping client data
- Clients can access application through the internet
- Full disaster recovery facility

## Support and Experience

- Full service support provided through dedicated compliance reporting teams who work closely with clients to set up the service, build rules and provide daily support
- JPMorgan provides compliance services to over 4,500 portfolios worldwide with assets exceeding \$1 trillion

Symbol	Name	Status
00001	AMERISOURCE PHARMACEUTICALS INC	OK
00002	AMERISOURCE PHARMACEUTICALS INC	OK
00003	AMERISOURCE PHARMACEUTICALS INC	OK
00004	AMERISOURCE PHARMACEUTICALS INC	OK
00005	AMERISOURCE PHARMACEUTICALS INC	OK
00006	AMERISOURCE PHARMACEUTICALS INC	OK
00007	AMERISOURCE PHARMACEUTICALS INC	OK
00008	AMERISOURCE PHARMACEUTICALS INC	OK
00009	AMERISOURCE PHARMACEUTICALS INC	OK
00010	AMERISOURCE PHARMACEUTICALS INC	OK

Users can easily see which of their funds have warnings or violations

Symbol	Description	Security ID	Units	Market Value	Percent NAV	Message
00001	AMERISOURCE PHARMACEUTICALS INC	00001	1,134,000.0	100,000,000.0	35.07	Percent Violation
00002	AMERISOURCE PHARMACEUTICALS INC	00002	1,134,000.0	100,000,000.0	35.07	Percent Violation
00003	AMERISOURCE PHARMACEUTICALS INC	00003	1,134,000.0	100,000,000.0	35.07	Percent Violation
00004	AMERISOURCE PHARMACEUTICALS INC	00004	1,134,000.0	100,000,000.0	35.07	Percent Violation
00005	AMERISOURCE PHARMACEUTICALS INC	00005	1,134,000.0	100,000,000.0	35.07	Percent Violation
00006	AMERISOURCE PHARMACEUTICALS INC	00006	1,134,000.0	100,000,000.0	35.07	Percent Violation
00007	AMERISOURCE PHARMACEUTICALS INC	00007	1,134,000.0	100,000,000.0	35.07	Percent Violation
00008	AMERISOURCE PHARMACEUTICALS INC	00008	1,134,000.0	100,000,000.0	35.07	Percent Violation
00009	AMERISOURCE PHARMACEUTICALS INC	00009	1,134,000.0	100,000,000.0	35.07	Percent Violation
00010	AMERISOURCE PHARMACEUTICALS INC	00010	1,134,000.0	100,000,000.0	35.07	Percent Violation

Users are able to drill down to the detailed compliance reports

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Users can update breach records via the internet with the results of their findings